

NEW APPLICATION



0000133928

BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

2012 JAN -3 P 12:59

GARY PIERCE, Chairman
BOB STUMP
SANDRA D. KENNEDY
PAUL NEWMAN
BRENDA BURNS

ARIZONA CORP COMMISSION
DOCKET CONTROL

In the matter of

E*TRADE SECURITIES LLC,

Respondent.

DOCKET NO. S-20829A-12-0001

FILING TO OPEN DOCKET

The Securities Division of the Arizona Corporation Commission requests that a Docket be opened for the purpose of assigning a docket number to a proposed Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by the above-referenced respondent.

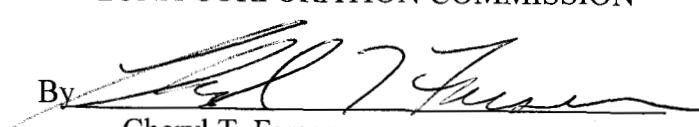
Respondent's address is:

14th Floor
1271 Avenue of the Americas
New York, New York 10020

Dated this 3rd day of January 2012.

ARIZONA CORPORATION COMMISSION

By


Cheryl T. Farson

General Counsel for the Securities Division
of the Arizona Corporation Commission

Arizona Corporation Commission
DOCKETED

JAN - 1 2012

DOCKETED BY

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